PTO/SB/21 (07-06)
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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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JAN 1 (to be used for all correspondence after initial filing)

TRANSMITTAL **FORM**

Total Number of Pages in This Submission | 17

	Application Number	10/609,382, Patent No. 6,869,230
	Filing Date	July 1, 2003; Issue date: Mar. 22, '05
	First Named Inventor	K. Cheng
	Art Unit	2874
	Examiner Name	J. Rahll
	Attorney Docket Number	25551.0005

				
	ENCLOSURES (check all that	t apply)		
Fee Transmittal Form	Drawing(s)	After A	Illowance Communication to TC	
Fee Attached	Licensing-related Papers	1 —	I Communication to Board peals and Interferences	
Amendment / Reply	Petition	I — · ·	I Communication to TC I Notice, Brief, Reply Brief)	
After Final	Petition to Convert to a Provisional Application	Proprie	etary Information	
Affidavits/declaration(s	Power of Attorney, Revocation Change of Correspondence Addr	ess Status	Letter	
Extension of Time Reques	Terminal Disclaimer		Enclosure(s) identify below):	
Express Abandonment Red	quest Request for Refund CD, Number of CD(s)	Certificate	or Certificate of Correction, of Correction, Statement of Statements of Listed Inventors,	
☐ Information Disclosure Sta		4	of Assignee	
Certified Copy of Priority Document(s)	Remarks			
Reply to Missing Parts/ Incomplete Application				
Reply to Missing Parts under 37 CFR1.52 or				
	SIGNATURE OF APPLICANT, ATTOR	RNEY, OR AGENT		
Firm	Bingham McCutchen LLP	Bingham McCutchen LLP		
Signature	1286			
Printed Name	Sean P. O'Hanlon	Sean P. O'Hanlon		
Date	January 19, 2007	January 19, 2007 Reg. No. 47,252		
	CERTIFICATE OF TRANSMISS	ION/MAILING		
I hereby certify that this corre Service with sufficient postag Alexandria, VA 22313-1450 on	spondence is being facsimile transmitted to the ge as first class mail in an envelope addres the date shown below.	e USPTO or deposite sed to: Commission	ed with the United States Postal er for Patents, P.O. Box 1450,	
Signature				
Typed or printed name		Date		

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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OIPE	Effective on 12/08 Fees pursuant to the Consolidated Approp			Complete if Known	
<i>(</i> 0	7.		Application Number	10/609,382, Patent No. 6,869,230	
	FEE TRANSMITTAL			July 1, 2003, Patent issue date: March 22, 2005	
JAN 19 200	for FY 2006 Applicant claims small entity status. See 37 CFR 1.27		First Named Inventor	K. Cheng	
TRADENAS	Applicant claims small entity st	atus. See 37 CFR 1.27	Examiner Name	J. Rahil	
HADEN			Art Unit	2874	
TOTAL AMOUNT OF PAYMENT		(\$) 230	Attorney Docket No.	25551.0005	

		(1)	Attorn	ey Docket No.	25551.0005		
METHOD OF PAYMENT	METHOD OF PAYMENT (check all that apply)						
☐ Check ☐ Credit Card	☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify) :						
Deposit Account Depo	sit Accou	unt Number: 195127	7	Deposit Accor	unt Name: Bingh	am McCutchen	LLP
For the above-iden	tified de	posit account, the D	Director is hereby	/ authorized to: (check all that app	oly)	
Charge fee(s) indica	ted below		☐ Charg	ge fee(s) indicated	d below, except	for the filing fee
Charge any Under 37 C		al fee(s) or underpa	yments of fee(s) 🛚 🖾 Credi	t any overpaymer	nts	
WARNING: Information on this information and authorization	form ma	y become public. Cre	edit card informat	ion should not be	included on this f	orm. Provide cre	dit card
FEE CALCULATION							
1. BASIC FILING, SEAF	RCH, AI	ND EXAMINATIO	N FEES				
	FILING		SEARCH			TION FEES	
Application Type	Fee (\$)	Small Entity Fee(\$)	Fee(\$)	Small Entity Fee(\$)	<u>/</u> Fee(\$)	Small Entity Fee(\$)	Fees Paid (\$)
Utility	300	150	500	250	200	100	rees raid (4)
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	
2. EXCESS CLAIM FEE		100	Ū	•	-	-	Small Entity
Fee Description	.5					Fee (\$)	Fee (\$)
Each claim over 20 (incl	uding Re	eissues)				50	25
Each independent claim	over 3 (i					200	100
Multiple dependent clain				- · · · · · ·		360	180
Total Claims	<u>Extra</u>			e Paid (\$)			Dependent Claims
20 or HP=		_ x _	_ = _			<u>Fee (\$)</u>	Fee Paid (\$)
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HP = highest number of in	depender		eater than 3.				
3. APPLICATION SIZE I	•	Pare to the good					
If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer							
listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50							
sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).							
Total Sheets Extra Sheets Number of each additional 50 or fraction thereof Fee (\$) Fee Paid (\$)							
	100 = / 50 = (round up to a whole number) x =						
4. OTHER FEE(S)	:C:	£120 for (عالم المالية المالية المالية المالية	٨			Fees Paid (\$)
•		, \$130 fee (no small	•				5220
Other (e.g., late fi	ing surc	harge) : Cert. of Co	rection, Processi	iig			<u>\$230</u>

SUBMITTED BY	11001			.
Signature	Vel. ()	Registration No. (Attorney/Agent) 47,252	Telephone	(202) 373-6029
Name (Print/Type)	Sean P. O'Hanlon		Date	January 19, 2007

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

In re Application of:

Kwok Sing CHENG et al.

Patent No.: 6,869,230

Application No.: 10/609,382

Filed: July 1, 2003

Titled: ASSEMBLY FOR HIGH-SPEED OPTICAL TRANSMITTER OR RECEIVER

REQUEST FOR CERTIFICATE OF CORRECTION

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Attn: Certificate of Correction Branch

Dear Sir:

Applicants and Assignee request a Certificate of Correction be issued to correct the inventorship of the above-referenced patent. S.K. Lam should be included as an inventor. For your convenience, a proposed Certificate of Correction is enclosed. Statements by the inventor to be added, the current listed inventors, and the Assignee are also included.

Please charge required fees, including the \$100 Certificate of Correction fee and the \$130 processing fee to Bingham McCutchen LLP Deposit Account No. 195127, Order No. 25551.0005.

01/22/2007 SZEWDIE1 00000134 195127 6869230 01 FC:1811 100.00 DA

PATENT

Attorney Docket: 25551.0005 PATENT

Should any U.S. Patent and Trademark Office personnel feel further communication would help prosecution, such personnel are urged to call the undersigned at the telephone number provided below.

Respectfully Submitted,

Sean P. O'Hanlon

Reg. No. 47,252

Dated: January 19, 2007

Bingham McCutchen LLP 3000 K Street, NW Suite 300 Washington, DC 20007 (202) 424-7500 Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

(Also Form PTO-1050)

UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

PATENT NO: 6,869,230 DATED: March 22, 2005

INVENTOR(S): Kwok Sing Cheng et al.

It is certified that error appears in the above-identified patent and that said Letters Patent are hereby corrected as shown below:

Title Page

Item (75), Inventors, "Kwok Sing Cheng, New Territories (HK); Yeung Ming Alice Chow, New Territories (HK); Wai Ming Edwin Cheung, Tai Po (HK); Fuk Kay Franklin Tong, New Territories (HK); Hing Wa Flora Ho, Kowloon (HK); Allan Hui, Shatin (HK); Nelson Lau, Kowloon (HK); Ka Suen Lee, Kowloon (HK); Chi Hung Lin, Kowloon (HK); Chi Yue Raymond Cheung, Kowloon (HK); Chun Wah Colin Fan, Pokfulam (HK)"

should read

-- Kwok Sing Cheng, New Territories (HK); Yeung Ming Alice Chow, New Territories (HK); Wai Ming Edwin Cheung, Tai Po (HK); Fuk Kay Franklin Tong, New Territories (HK); Hing Wa Flora Ho, Kowloon (HK); Allan Hui, Shatin (HK); Nelson Lau, Kowloon (HK); Ka Suen Lee, Kowloon (HK); Chi Hung Lin, Kowloon (HK); Chi Yue Raymond Cheung, Kowloon (HK); Chun Wah Colin Fan, Pokfulam (HK); S.K. Lam, Kowloon, (HK) --

MAILING ADDRESS OF SENDER:

Edward A. Pennington, Esq. Bingham McCutchen LLP 3000 K Street, NW, Suite 300 Washington, DC 20007-5116

PATENT NO. <u>6,869,230</u>

No. of additional copies

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.





IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Kwok Sing CHENG et al.

Patent No.: 6,869,230

Application No.: 10/609,332

Filed: July 1, 2003

Titled: ASSEMBLY FOR HIGH-SPEED OPTICAL TRANSMITTER OR RECEIVER

STATEMENT OF S.K. LAM UNDER 37 C.F.R. §1.324(b)(1)

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-14:0

Attn: Certificate of Correction Branch

Dear Sir:

I, S.K. Lam, hereby declare as follows:

An error in inventorship occurred in the above-referenced application when I was not included as an inventor. This error occurred without any deceptive intention on my part.

Date: April 4th ___, 2006

S.K. Lam

JAN 1 9 2007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Kwok Sing CHENG et al.

Patent No.: 6,869,230

Application No.: 10/609,382

Filed: July 1, 2003

Titled: ASSEMBLY FOR HIGH-SPEED OPTICAL TRANSMITTER OR RECEIVER

STATEMENT FROM CURRENT NAMED INVENTORS UNDER 37 CFR §1.324(b)(2)

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Attn: Certificate of Correction Branch

Dear Sir:

I, Kwok Sing Cheng, Yeung Ming Alice Chow, Wai Ming Edwin Cheung, Fuk Kay Franklin Tong, Hing Wa Flora Ho, Allan Hui, Nelson Lau, Ka Suen Lee, Chi Hung Lin, Chi Yue Raymond Cheung, and Chun Wah Colin Fan, hereby declare as follows:

An error in inventorship occurred in the above-referenced application when S.K. Lam was not included as an inventor.

Date:	11 Apr	, 2006	Kwok Sing Cheng
Date:	11 Apr	, 2006	Yeung Ming Alice Chow
Date:	11 Apr	, 2006	Wai Ming Edwin Cheung
Date:	27 Apr	, 2006	Fuk Kay Franklin Tong
Date:	10 Apr	, 2006	Hing Wa Flora Ho
Date:		, 2006	Allan Hui
Date:	· · · · · · · · · · · · · · · · · · ·	, 2006	Nelson Lau
Date:		, 2006	Ka Suen Lee)
Date:	April 28	, 2006	Chi Hung Lin
Date:		, 2006	Chi Yue Raymond Cheung
Date:	w Apr	, 2006	Chun Wah Colin Fan

JAN 1 9 2007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Kwok Sing CHENG et al.

Patent No.: 6,869,230

Application No.: 10/609,382

Filed: July 1, 2003

Titled: ASSEMBLY FOR HIGH-SPEED OPTICAL TRANSMITTER OR RECEIVER

STATEMENT FROM CURRENT NAMED INVENTORS UNDER 37 CFR §1.324(b)(2)

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Attn: Certificate of Correction Branch

Dear Sir:

I, Kwok Sing Cheng, Yeung Ming Alice Chow, Wai Ming Edwin Cheung, Fuk
Kay Franklin Tong, Hing Wa Flora Ho, Allan Hui, Nelson Lau, Ka Suen Lee, Chi Hung
Lin, Chi Yue Raymond Cheung, and Chun Wah Colin Fan, hereby declare as follows:

An error in inventorship occurred in the above-referenced application when S.K. Lam was not included as an inventor.

Date:	, 2006	
		Kwok Sing Cheng
Date:	, 2006	
		Yeung Ming Alice Chow
Date: _		Wai Mar Fillia Mar
		Wai Ming Edwin Cheung
Date: _	, 2006	Fuk Kay Franklin Tong
		Tunkin Tong
Date:	, 2006	Hing Wa Flora Ho
Date:	8/6 ,2006	All. 12
Date:		Allan Hui
Date:	, 2006	
•		Nelson Lau
Date:	, 2006	
	ie.	Ka Suen Lee
Date:	, 2006	Chi Hung Lin
		on rang and
Date:	, 2006	Chi Yue Raymond Cheung
Date:	, 2006	Chun Wah Colin Fan

JAN 1 9 200

In re Application of:

Kwok Sing CHENG et al.

Patent No.: 6,869,230

Application No.: 10/609,382

Filed: July 1, 2003

Titled: ASSEMBLY FOR HIGH-SPEED OPTICAL TRANSMITTER OR RECEIVER

STATEMENT FROM CURRENT NAMED INVENTORS UNDER 37 CFR §1.324(b)(2)

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Attn: Certificate of Correction Branch

Dear Sir:

I, Kwok Sing Cheng, Yeung Ming Alice Chow, Wai Ming Edwin Cheung, Fuk Kay Franklin Tong, Hing Wa Flora Ho, Allan Hui, Nelson Lau, Ka Suen Lee, Chi Hung Lin, Chi Yue Raymond Cheung, and Chun Wah Colin Fan, hereby declare as follows:

An error in inventorship occurred in the above-referenced application when S.K. Lam was not included as an inventor.

Date:		, 2006	
			Kwok Sing Cheng
Date:		2006	
Duto.		, 2000	Yeung Ming Alice Chow
	•		·
Data		2006	
Date:		, 2006	Wai Ming Edwin Cheung
			wai wing Edwin Choding
			90
Date:		, 2006	
	:		Fuk Kay Franklin Tong
		•	•
Date:	·	, 2006	
	• •	•	Hing Wa Flora Ho
	•		
Date:	· ·	, 2006	
			Allan Hui
Date:	14 April	, 2006	10km 1041
			Nelson Lau
	•		
Date:		2006	
Date.		, 2000	Ka Suen Lee
	•		
		2006	*
Date:	<u> </u>	, 2000	Chi Hung Lin
_			·
Date:		, 2006	Chi Vuo Daymand Charre
			Chi Yue Raymond Cheung
•			
Date:		, 2006	
			Chun Wah Colin Fan

JAN 1 9 2007

In re Application of:

Kwok Sing CHENG et al.

Patent No.: 6,869,230

Application No.: 10/609,382

Filed: July 1, 2003

Titled: ASSEMBLY FOR HIGH-SPEED OPTICAL TRANSMITTER OR RECEIVER

STATEMENT FROM CURRENT NAMED INVENTORS UNDER 37 CFR §1.324(b)(2)

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Attn: Certificate of Correction Branch

Dear Sir:

I, Kwok Sing Cheng, Yeung Ming Alice Chow, Wai Ming Edwin Cheung, Fuk Kay Franklin Tong, Hing Wa Flora Ho, Allan Hui, Nelson Lau, Ka Suen Lee, Chi Hung Lin, Chi Yue Raymond Cheung, and Chun Wah Colin Fan, hereby declare as follows:

An error in inventorship occurred in the above-referenced application when S.K. Lam was not included as an inventor.

PATENT

Doto		2006	
Date:	· ·	, 2000	Kwok Sing Cheng
Date:		, 2006	Yeung Ming Alice Chow
Date: _		, 2006	Wai Ming Edwin Cheung
Date: _	:	_, 2006	Fuk Kay Franklin Tong
Date: _		_, 2006	Hing Wa Flora Ho
Date: _		_, 2006	Allan Hui
Date:		_, 2006	Nelson Lau
Date:	May 17	, 2006	Ka Suen Lee
Date:		, 2006	Chi Hung Lin
Date:		, 2006	Chi Yue Raymond Cheung
Date:		, 2006	Chun Wah Colin Fan

JAN 19 2007

In re Application of:

Kwok Sing CHENG et al.

Patent No.: 6,869,230

Application No.: 10/609,382

Filed: July 1, 2003

Titled: ASSEMBLY FOR HIGH-SPEED OPTICAL TRANSMITTER OR RECEIVER

STATEMENT FROM CURRENT NAMED INVENTORS UNDER 37 CFR §1.324(b)(2)

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Attn: Certificate of Correction Branch

Dear Sir:

I, Kwok Sing Cheng, Yeung Ming Alice Chow, Wai Ming Edwin Cheung, Fuk Kay Franklin Tong, Hing Wa Flora Ho, Allan Hui, Nelson Lau, Ka Suen Lee, Chi Hung Lin, Chi Yue Raymond Cheung, and Chun Wah Colin Fan, hereby declare as follows:

An error in inventorship occurred in the above-referenced application when S.K. Lam was not included as an inventor.

Date:	, 2006	Kwok Sing Cheng
Date:	, 2006	Yeung Ming Alice Chow
Date:	, 2006	Wai Ming Edwin Cheung
Date:	, 2006	Fuk Kay Franklin Tong
Date:	, 2006	Hing Wa Flora Ho
Date:	, 2006	Allan Hui
Date:	, 2006	Nelson Lau
Date:	, 2006	Ka Suen Lee
Date:	2006	Chi Hung Lin
Date: 5 Se	2006	Chi Yue Raymond Cheung
Date:	, 2006	Chun Wah Colin Fan



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Kwok Sing CHENG et al.

Patent No.: 6,869,230

Application No.: 10/609,382

Filed: July 1, 2003

Titled: ASSEMBLY FOR HIGH-SPEED OPTICAL TRANSMITTER OR RECEIVER

STATEMENT OF ASSIGNEE UNDER 37 CFR §1.324(b)(3)

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Attn: Certificate of Correction Branch

Dear Sir:

SAE MAGNETICS (HONG KONG) LIMITED, a Limited Liability Company, organized under and pursuant to the laws of Hong Kong, China states that it is the Assignee of the entire right, title, and interest in the above-identified patent by virtue of an Assignment from Hong Kong Applied Science and Technology Research Institute Co., Ltd. to SAE Magnetics (Hong Kong) Limited recorded in the United States Patent and Trademark Office on June 22, 2004, at Reel 014764, Frame 0656. The Assignment from the listed inventors to Hong Kong Applied Science and Technology Research Institute Co., Ltd. was recorded on March 25, 2004 at Reel 014461, Frame 0653.

The Assignee agrees to the change of inventorship of the above-referenced patent to include S.K. Lam as an inventor.

The undersigned, whose title is supplied below, is authorized to act on behalf of the Assignee.

Date: January 2 2007

Name: Teppei Watanab Title: Vice President

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